

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview

1. **Date of Submission:** 2011-01-07

2. **Agency:** 018

3. **Bureau:** 45

4. **Name of this Investment:** Common Origination and Disbursement (COD)

5. **Unique Project (Investment) Identifier (UPI):** 018-45-01-04-01-3203-00

6. **What kind of investment will this be in FY 2012?:** Mixed Life Cycle

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. **What was the first budget year this investment was submitted to OMB?** FY2001 or earlier

8.

- a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

Common Origination and Disbursement (COD) is a legacy system that provides grant and loan origination and disbursement functionality to both Federal Student Aid and its school customers. COD enables financial aid administrators to submit records requesting funds for grants and loans, and to receive notification of funding or rejection from Federal Student Aid. COD enables the delivery of the following Title IV programs: * Pell Grants * Academic Competitive Grants * National SMART and TEACH Grant programs * Direct Loans (Stafford, PLUS and Graduate PLUS) * On-going Maintenance and Operations * Legislative changes due to the Federal Stimulus Package * Direct Loan massive increase due to FFEL Program Elimination COD performs data processing and editing necessary to support program compliance with statute and regulation for Federal Student Aid, and proved functionality to schools that enables compliance. The system supports interfaces to other systems to enable funding, to fulfill reporting requirements, and to enable oversight.

- b. **Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports.**

Title	Link
NONE	

9.

- a. **Provide the date of the Agency's Executive/Investment Committee approval of this investment.**
2011-01-20
- b. **Provide the date of the most recent or planned approved project charter.** 2011-06-18

10. **Contact information?**

- a. **Program/Project Manager Name:** *

Phone Number: *

Email: *

b. **Business Function Owner Name (i.e. Executive Agent or Investment Owner):** Sue Szabo

Phone Number: *

Email: *

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA): Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding

(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

Table I.B.1: Summary of Funding
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”: 3

3. Insert the number of years covered in the column “BY+4 and beyond”: *

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Competed	Short description of acquisition
Awarded	9100	ED-06-CO-0027	ED-06-CO-0027	ED-06-R-0003	*	*	\$1,071.4	Firm Fixed Price	Y	2006-10-01	2015-09-30	Not Available for Competition	Re-acquire services providing all Common Origination and Disbursement System functionality.

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3.

- a. Has an Acquisition Plan been developed? If yes, please answer the questions that follow *
- b. Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1? *
- c. Was the Acquisition Plan approved in accordance with agency requirements? *
- d. If "yes," enter the date of approval? *
- e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? *
- f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? *
- g. If an Acquisition Plan has not been developed, provide a brief explanation.

*

Part II: IT Capital Investments

Section A: General

1.
 - a. Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. yes
 - b. If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education.
2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. COD does not run in the FSA-VDC. Cloud computing is not an option under the existing COD contract. Cloud computing requirements will be included in the re-acquisition of the COD capabilities.
3. Provide the date of the most recent or planned Quality Assurance Plan 2010-10-22
4.
 - a. Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment. 018-45-01-04-01-3133-00
 - b. If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s). 018-45-01-04-01-3116-00,018-45-01-01-01-1140-00
5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 2011-05-27
6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 2010-11-01

Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
FY2001 Maintenance Costs	SS	*	\$0.7	\$0.7	2000-10-01	2000-10-01	2001-09-30	2001-09-30	100.00%	100.00%
FY 2002 Maintenance Costs	SS	*	\$0.9	\$0.9	2001-10-01	2001-10-01	2002-09-30	2002-09-30	100.00%	100.00%
1st Share-in-Results Payment	SS	*	\$12.0	\$12.0	2001-10-01	2001-10-01	2002-09-30	2002-09-30	100.00%	100.00%
FY 2003 Maintenance Costs	SS	*	\$2.0	\$2.0	2002-10-01	2002-10-01	2003-09-30	2003-09-30	100.00%	100.00%
2nd Share-in-Results Payment	SS	*	\$12.0	\$12.0	2002-10-01	2002-10-01	2003-09-30	2003-09-30	100.00%	100.00%
FY 2004 Maintenance Costs	SS	*	\$3.4	\$3.4	2003-10-01	2003-10-01	2004-09-30	2004-09-30	100.00%	100.00%
3rd Share-in-Savings Payment	SS	*	\$16.9	\$12.2	2003-10-01	2003-10-01	2004-09-30	2004-09-30	100.00%	100.00%
FY 2005 Maintenance Costs	SS	*	\$11.9	\$10.8	2004-10-01	2004-10-01	2006-02-01	2006-07-31	100.00%	100.00%
3rd Year Share-in-Savings Payments	SS	*	\$5.6	\$5.6	2005-10-01	2005-10-01	2006-09-30	2006-09-30	100.00%	100.00%
FY 2006 Maintenance Costs	SS	*	\$3.5	\$3.5	2006-10-01	2006-10-01	2007-09-30	2007-09-30	100.00%	100.00%
FY 2007 Maintenance Costs	SS	*	\$55.1	\$61.2	2006-10-01	2006-10-01	2007-09-30	2007-09-30	100.00%	100.00%

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Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
FY 2008 Maintenance Costs	SS	*	\$55.3	\$64.7	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
FY 2008 Discretionary Funds	SS	*	\$2.0	\$2.0	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
FY 2009 Operations and Maintenance Costs	SS	*	\$68.8	\$68.7	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
FY 2009 Other Direct Costs	SS	*	\$9.9	\$9.9	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
FY 2009 Maintenance Release 9.0 Common Origination and Disbursement	SS	*	\$2.1	\$2.1	2008-10-01	2008-10-01	2011-05-31	2009-09-30	100.00%	100.00%
FY 2010 Operations and Maintenance Costs	SS	*	\$144.8	\$144.8	2009-10-01	2009-10-01	2011-02-28	2011-02-28	100.00%	100.00%
Fy 2010 Award Year Setup	DME	*	\$12.7	\$12.7	2009-10-01	2009-10-01	2010-09-30	2010-09-30	100.00%	100.00%
FY 2010 Other Direct Costs	SS	*	\$7.3	\$7.1	2009-10-01	2009-10-01	2010-09-30		99.00%	98.00%
FY 2010 Cancellation Fee	SS	*	\$1.1	\$0.0	2009-10-01	2009-10-01	2010-09-30		100.00%	0.00%
FY 2011 Operations and Maintenance Costs	SS	*	\$69.8	\$19.5	2011-03-01	2011-03-01	2011-09-30		28.00%	28.00%
FY 2011 Award Year Setup	DME	*	\$8.2	\$0.0	2011-03-01		2011-09-30		0.00%	0.00%
FY 2011 Other Direct Costs	SS	*	\$13.9	\$2.4	2010-10-01	2010-10-01	2011-09-30		17.30%	17.30%

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
FY 2011 Cancellation Fee	SS	*	\$1.1	\$0.0	2010-10-01	2010-10-01	2011-09-30		25.00%	0.00%
FY 2012 Operations and Maintenance	SS	*	*	*	2011-10-01	*	2012-09-30	*	*	*
FY 2012 Award Year Setup	DME	*	*	*	2011-10-01	*	2012-09-30	*	*	*
FY 2012 Other Direct Costs	SS	*	*	*	2011-10-01	*	2012-09-30	*	*	*
Fy 2012 Cancellation Fee	SS	*	*	*	2011-10-01	*	2012-09-30	*	*	*
FY 2013 Operations and Maintenance Costs	SS	*	*	*	2012-10-01	*	2013-09-30	*	*	*
FY 2013 Award Year Setup	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
FY 2013 Other Direct Costs	SS	*	*	*	2012-10-01	*	2013-09-30	*	*	*
FY 2013 Cancellation Fee	SS	*	*	*	2012-10-01	*	2013-09-30	*	*	*
FY 2014 Operations and Maintenance	SS	*	*	*	2013-10-01	*	2014-09-30	*	*	*
FY 2014 Award Year Setup	DME	*	*	*	2013-10-01	*	2014-09-30	*	*	*
FY 2014 Other Direct Costs	SS	*	*	*	2013-10-01	*	2014-09-30	*	*	*
FY 2014 Cancellation Fee	SS	*	*	*	2013-10-01	*	2014-09-30	*	*	*

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion. no

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.

2010-05-11

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?

yes

Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding
*	*	*	*

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:	
Customer Agency	Joint exhibit approval date
NONE	

Table II.D.2. Shared Service Providers		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
NONE							

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Measurement Area (For IT Assets)	Measurement Grouping (For IT Assets)	Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Year Baseline Established for this measure (Origination Date)
Technology	Service Availability	Availability: Percentage of COD web availability excluding scheduled outages	semi-annual	% web site availability	Up	99.7%	2006-07-17
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	99.7%	99.7%	Met	2011-02-28
Technology	Service Availability	Availability: Percentage of COD web availability excluding scheduled outages	semi-annual	% web site availability	Up	99.7%	2006-07-17
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	99.7%		Not Due	2011-02-28
Technology	Service Availability	Availability: Percentage of COD web availability excluding scheduled outages	semi-annual	% web site availability	Up	99.7%	2006-07-17
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	99.7%		Not Due	2011-02-28
Customer Results	Customer Satisfaction	Customer Satisfaction: ACSI score representing customers satisfaction with COD on FSA's	annual	ACSI Score	Up	66	2006-07-17

		Customer Satisfaction survey					
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	76	None.	Not Met	2011-02-28
Customer Results	Customer Satisfaction	Customer Satisfaction: ACSI score representing customers satisfaction with COD on FSA's Customer Satisfaction survey	semi-annual	% customer satisfaction	up	66	2006-07-17
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	76	% customer satisfaction		2011-02-28
Customer Results	Customer Satisfaction	Customer Satisfaction: ACSI score representing customers satisfaction with COD on FSA's Customer Satisfaction survey	semi-annual	% of customer satisfaction	Upward	66	2006-07-07
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	76			2011-02-28
Processes and Activities	Financial Management	Financial Management Percentage of schools substantiating draw downs with records within 30 day requirements.	semi-annual	% of schools substantiating draw downs	Up	75	2006-07-07
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	88	99.9%	Met	2011-02-28

Processes and Activities	Financial Management	Financial Management: Percentage of schools substantiating draw downs with records within 30 day requirements	semi-annual	% of schools substantiating draw downs	Up	75%	2006-07-17
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	88%		Not Due	2011-02-28
Processes and Activities	Financial Management	Financial Management: Percentage of schools substantiating draw downs with records within 30 day requirements	semi-annual	% of schools substantiating draw downs	Up	75%	2006-07-17
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	88%		Not Due	2011-02-28
Mission and Business Results	Higher Education	Higher Education: Percentage of funds drawn down for DL and Pell Grant programs substantiated by receipt of records within 30 day requirement	semi-annual	% of substantiated funds drawn down	Up	80%	2006-07-17
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	96%	99.9%	Not Due	2011-02-28
Mission and Business Results	Higher Education	Higher Education: Percentage of funds drawn down for DL and Pell Grant programs substantiated by receipt of records within 30 day requirement	quarterly	% of substantiated funds draw down	Up	80%	2006-07-17

			Fiscal Year	Target	Actual Results	Target “Met” or “Not Met”	Last Updated
			2011	96%		Not Due	2011-02-28
Mission and Business Results	Higher Education	Higher Education: Percentage of funds drawn down for DL and Pell Grant programs substantiated by receipt of records within 30 day requirement	semi-annual	% of substantiated funds draw down	Up	80%	2006-07-17
			Fiscal Year	Target	Actual Results	Target “Met” or “Not Met”	Last Updated
			2012	96%		Not Due	2011-02-28

* - Indicates data is redacted.